

Army Regulation 500–3

**Emergency Employment of Army and
Other Resources**

U.S. Army Continuity of Operations Program

**Headquarters
Department of the Army
Washington, DC
2 July 2021**

UNCLASSIFIED

SUMMARY of CHANGE

AR 500–3

U.S. Army Continuity of Operations Program

This major revision, dated 2 July 2021—

- o Changes the name of the regulation from U.S. Army Continuity of Operations Program Policy and Planning to U.S. Army Continuity of Operations Program (cover).
- o Updates responsibilities (chap 2).
- o Requires Deputy Chief of Staff, G–3/5/7, Continuity of Operations Office to maintain data containing the location and contact information for the alternate facilities/sites used by the Headquarters of Army commands, Army service component commands, direct reporting units, U.S. Army Reserve, and Chief, National Guard Bureau (para 2–10a(10)).
- o Adds the requirement for the Headquarters of the Army commands, Army service component commands, direct reporting units, U.S. Army Reserve, and Chief, National Guard Bureau to report information for their designated continuity facilities (para 2–17f).
- o Requires Army organizations to report relocation to a continuity facility during a continuity of operations event or exercise (para 2–17g).
- o Recommends organization continuity of operations program managers and points of contact complete training to obtain Federal Emergency Management Agency Level I Professional Continuity Practitioner certification (para 3–1a).
- o Incorporates cyber resilience as an integral part of information technology contingency plans in support of the organization’s continuity of operations plan (para 3–2g and throughout).
- o Requires the organization to coordinate and synchronize its organizational continuity of operations plan mission essential function priorities and information systems priorities with Chief Information Officer/G–6 and the service providers who produce the supporting information technology contingency plans (para 3–2g).
- o Incorporates Army Directive 2018–07–7, Prioritizing Efforts–Readiness and Lethality (Update 7), by updating exercise requirements (throughout).
- o Synchronizes U.S. Army Continuity of Operations Program policy with the Army Protection Program in accordance with AR 525–2 (throughout).
- o Deletes the Department of the Army Relocation Sites Program requiring Army organizations to coordinate alternate sites/facilities with Installation Management Command (throughout).
- o Changes “vital records” to “essential records” (throughout).

Effective 2 August 2021

Emergency Employment of Army and Other Resources
U.S. Army Continuity of Operations Program

By Order of the Secretary of the Army:

JAMES C. MCCONVILLE
General, United States Army
Chief of Staff

Official:


KATHLEEN S. MILLER
Administrative Assistant
to the Secretary of the Army

Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated.

Proponent and exception authority.

The proponent of this regulation is the Deputy Chief of Staff, G–3/5/7. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity’s senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army internal control process.

This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see app B).

Supplementation.

Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Deputy

Chief of Staff, G–3/5/7 (DAMO–OD), 400 Army Pentagon, Washington, DC 20310–0400.

Suggested improvements.

Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Deputy Chief of Staff G–3/5/7 (DAMO–OD), 400 Army Pentagon, Washington, DC 20310–0400.

Committee management.

AR 15–1 requires the proponent to justify establishing/continuing committee(s), coordinate draft publications, and coordinate changes in committee status with the Office of the Administrative Assistant to the Secretary of the Army, Department of the Army Committee Management Office (AARP–ZA), 9301 Chapek Road, Building 1458, Fort Belvoir, VA 22060–5527. Further, if it is determined that an established “group” identified within this regulation later takes on the characteristics of a committee, as found in the AR 15–1, then the proponent will follow all AR 15–1 requirements for establishing and continuing the group as a committee.

Distribution.

This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

History. This publication is a major revision.

Summary. This regulation implements continuity guidance contained in DoDD 3020.26 and DoDI 3020.42 and establishes the U.S. Army Continuity of Operations Program to ensure continuity of mission essential functions under all circumstances across the spectrum of threats. It prescribes policies, roles, responsibilities, relationships, and planning guidance for the U.S. Army Continuity of Operations Program. It establishes requirements for continuity of operations tests, training, and exercises to validate continuity of operations plans and improve readiness.

Applicability. This regulation applies to the Regular Army, the Army National

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Glossary

Chapter 1 Introduction

1–1. Purpose

This regulation prescribes policies, assigns responsibilities and roles, and provides overarching guidance for the U.S. Army Continuity of Operations (COOP) Program to ensure effective execution of critical Army missions and continuation of mission essential functions (MEFs) under all circumstances. All Department of the Army (DA) continuity-related activities will be coordinated and managed under the U.S. Army COOP Program. The U.S. Army COOP Program serves as a functional element of the Army Protection Program (APP) (see AR 525–2). DA Pam 500–30 contains required program and planning processes and procedures for implementing the U.S. Army COOP Program.

1–2. References and forms

See appendix A.

1–3. Explanation of abbreviations and terms

See the glossary.

1–4. Responsibilities

See chapter 2.

1–5. Records management (recordkeeping) requirements

The records management requirement for all record numbers, associated forms, and reports required by this regulation are addressed in the Army Records Retention Schedule–Army (RRS–A). Detailed information for all related record numbers, forms, and reports are located in ARIMS/RRS–A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS–A, see DA Pam 25–403 for guidance.

1–6. Statutory authority

Statutory authority for this regulation is derived from Section 7013, Title 10, United States Code (10 USC 7013).

1–7. Precedence

This regulation is the proponent policy document for the U.S. Army COOP Program. If at any time there is a conflict in this regulation with any other COOP-related Army policy, including other Army regulations, this regulation takes precedence.

1–8. U.S. Army Continuity of Operations Program Overview

a. The U.S. Army maintains a comprehensive continuity program consisting of integrated policies, plans, procedures, communications, information systems, trained continuity personnel, and capabilities that provide for the continued execution of critical missions and MEFs across a wide range of potential threats and emergencies.

b. The U.S. Army COOP Program supports the National Continuity Program by ensuring the resilience and preservation of government under the United States Constitution and the continuous performance of National Essential Functions. The U.S. Army COOP Program also supports the DoD continuity program which provides for the performance of DoD MEFs under all circumstances. The U.S. Army COOP Program supports operational objectives and resilience of organizations at all levels across the Army to continue their MEFs in all threats and hazards environments.

c. The U.S. Army COOP Program includes the Headquarters, Department of the Army (HQDA) COOP Program which provides for continuity of HQDA Secretariat and Army Staff (ARSTAF) agency MEFs supporting the Secretary of the Army (SECARMY); the Chief of Staff, Army (CSA); and applicable Chairman of the Joint Chiefs of Staff (CJCS) and DoD MEFs. The Army program also encompasses the Army commands (ACOMs), Army service component commands (ASCCs), direct reporting units (DRUs), U.S. Army Reserve (USAR), Army National Guard (ARNG), field operating agencies (FOAs), and all subordinate commands performing COOP MEFs or devolved MEFs.

Chapter 2

Responsibilities

This chapter addresses responsibilities for the overarching U.S. Army COOP Program as well as for the HQDA COOP Program for the HQDA Secretariat and ARSTAF agencies. It also addresses responsibilities of the ACOMs, ASCCs, DRUs, USAR, ARNG, and FOAs. The chapter describes the responsibilities of installation senior commanders (SCs) in supporting the COOP programs of tenant commands and other commands that are not installation tenants but plan to relocate to the installation during a continuity event.

2-1. Assistant Secretary of the Army (Acquisition, Logistics and Technology)

The ASA (ALT), in support of the U.S. Army COOP Program, will—

- a.* Provide subject matter experts (SMEs) to assist the Deputy Chief of Staff (DCS), G-3/5/7 in synchronizing Army continuity-related acquisition issues.
- b.* Incorporate necessary continuity measures into contract support processes and directives.

2-2. Assistant Secretary of the Army (Financial Management and Comptroller)

The ASA (FM&C), in support of the U.S. Army COOP Program, will ensure U.S. Army continuity requirements are programmed and budgeted in accordance with DoDD 3020.26.

2-3. Assistant Secretary of the Army (Manpower and Reserve Affairs)

The ASA (M&RA) will—

- a.* In support of the U.S. Army COOP Program—
 - (1) Advise and assist the DCS, G-3/5/7 in fulfilling U.S. Army continuity-related responsibilities Armywide and in accordance with the APP per AR 525-2.
 - (2) Provide oversight of Army training, readiness, and manpower policies related to U.S. Army continuity issues.
 - (3) Develop, in coordination with DCS, G-1, the Army personnel policy for informing in writing those DA Civilian primary and alternate personnel designated to fill a position on a COOP Emergency Relocation Group (ERG) and relocate to an alternate work site for 30 days of their continuity roles and responsibilities. This includes obtaining a signed acceptance of these roles and responsibilities.
 - (4) Provide oversight to ensure Army health, training, personnel, and readiness policies support the ACOMs' continuity programs across the Army.
- b.* In addition to the responsibilities in paragraph 2-17 to support the HQDA COOP Program—
 - (1) Advise and assist the DCS, G-3/5/7 in fulfilling HQDA COOP program-related responsibilities.
 - (2) Provide oversight to ensure health, training, personnel, and readiness policies support the HQDA COOP program, as applicable.

2-4. The Administrative Assistant to the Secretary of the Army

The AASA will—

- a.* In support of the U.S. Army COOP Program—
 - (1) Provide for preservation of essential records as the Archivist of the Army to ensure they are available during a catastrophic event to support COOP in accordance with subchapter B, chapter XII of Title 36, Code of Federal Regulations.
 - (2) Ensure statutory requirements established by Congress are complied with during collection and preservation of Army essential records for reconstitution.
 - (3) Operate the Army Records Information Management System for archiving the Army's official records.
- b.* In addition to the organizational responsibilities in paragraph 2-17 under the HQDA COOP Program—
 - (1) Provide support for business activities required for continuity capabilities of HQDA organizations.
 - (2) Assist DCS, G-3/5/7 develop, coordinate, and maintain planning for reconstitution of personnel and facility space allocation following a continuity event affecting the HQDA staff and facilities.
 - (3) Support the SECARMY equity in emergency evacuation and crisis-related operations in the National Capital Region (NCR) by providing support per United States Northern Command Contingency Plan 3600 in accordance with DoDD 3020.26.

2-5. Chief Information Officer

The CIO, in support of the U.S. Army COOP Program, will—

- a.* Provide Army policy and guidance for testing primary and alternate communications, information technology (IT) networks, information systems, applications, and capabilities identified as required to perform Army organizations' MEFs.
- b.* Serve as advocate for the U.S. Army's command, control, communications, computers, and intelligence (C4I) systems and capabilities required to improve cyber resilience in support of the U.S. Army COOP Program.
- c.* Synchronize and coordinate U.S. Army IT cyber policy and procedures related to organizational continuity with the U.S. Army COOP Program Office (ADAMO-OD).
- d.* Develop Army policy and guidance for information technology contingency plans (ITCPs) and for conduct of exercises to recover information systems and IT services following an emergency or information systems disruption.

2-6. The Inspector General

TIG will consider for release any request for inspection-report findings related directly to the U.S. Army COOP Program and any unattributed assistance or investigation trends that may help identify critical gaps in the U.S. Army COOP Program. Requests should be forwarded to TIG through the Records Release Office.

2-7. Chief, National Guard Bureau

Pursuant to DoDD 5105.77, the Chief, National Guard Bureau (NGB) is responsible for communicating standards set forth in this regulation to the ARNG and will—

- a.* Publish guidance concerning implementation of the U.S. Army COOP Program, as required.
- b.* Ensure the U.S. Army COOP Program is executed within the ARNG in accordance with this regulation and DA Pam 500-30.
- c.* Operate the NGB alternate site in accordance with DoDD 3020.26.
- d.* Ensure the National Guard Joint Force Headquarters-State comply with the U.S. Army COOP Program.
- e.* Include ARNG requirements in the appropriations of the Army National Guard of the United States.
- f.* Ensure DA level COOP priorities and requirements are disseminated to the ARNG.
- g.* Ensure that commanders and directors of ARNG organizations execute the responsibilities prescribed in paragraph 2-17.
- h.* Ensure that ARNG tenants and supported commands with continuity of operations requirements execute the responsibilities prescribed in paragraph. 2-20.

2-8. Deputy Chief of Staff, G-1

The DCS, G-1 will—

- a.* In support of the U.S. Army COOP Program, develop in coordination with ASA (M&RA) the Army personnel policy and procedures for informing in writing those DA Civilian primary and alternate personnel designated to fill a position on a COOP ERG and relocate to a geographically separated alternate work site for 30 days to continue performance of MEFs of their continuity roles and responsibilities. This includes obtaining a signed acknowledgment that the individual understands and accepts these roles and responsibilities.
- b.* In addition to the responsibilities in paragraph 2-17 to support the HQDA COOP Program, develop, coordinate, and maintain with the assistance of AASA and DCS, G-3/5/7 the personnel and staff reconstitution plan and procedures supporting the HQDA COOP Operations Plan (OPLAN).

2-9. Deputy Chief of Staff, G-2

The DCS, G-2, in support of the U.S. Army COOP Program, will recommend continuity-related information and collection requirements to Army leaders.

2-10. Deputy Chief of Staff, G-3/5/7

The DCS, G-3/5/7 will—

- a.* In support of the overarching U.S. Army COOP Program—
 - (1) Serve as the proponent and develop policy for the U.S. Army COOP Program.
 - (2) Exercise overall responsibility for the development, implementation, and management of U.S. Army COOP Program direction.
 - (3) Designate the Department of the Army Continuity Coordinator in accordance with DoDD 3020.26. This designates the Director, Operations, Readiness, and Mobilization (DAMO-OD) as the U.S. Army Continuity Coordinator who will serve as the primary point of contact for management, oversight, and policy compliance of the U.S. Army COOP Program.
 - (4) Develop and coordinate program requirements.

- (5) Ensure Army COOP guidance, policies, plans, and procedures are consistent with directives from the President, Office of the Secretary of Defense (OSD), Department of Homeland Security, Federal Emergency Management Agency (FEMA), SECARMY, CSA, and the CJCS.
- (6) Advocate that Army continuity programs are planned, programmed, and budgeted.
- (7) Coordinate the U.S. Army COOP program with functional elements of the APP per AR 525–2.
- (8) Ensure DA level COOP priorities and requirements are disseminated to the HQDA Secretariat and ARSTAF, and the ACOMs, ASCCs, DRUs, USAR, and NGB.
- (9) Ensure the HQDA COOP planning supports the SECARMY as a successor to the Secretary of Defense (SECDEF) and the CSA as a member of the Joint Chiefs of Staff.
- (10) Develop and maintain a database containing the site name, location, and contact information for the continuity facilities (CFs)/sites used by the headquarters organization of each ACOM, ASCC, and DRU; USAR; and ARNG. Ensure the Army Operations Center (AOC) has access to the database and coordinate procedures with the AOC to:
 - (a) Receive, process, and disseminate incoming reports to notify officials of the relocation of a headquarters or organization to its alternate facility during a continuity event or exercise.
 - (b) Receive and process reports from headquarters or organizations which update and change the alternate facility database.
- (11) Encourage and recommend that Army COOP program managers (PMs) and continuity of operations points of contact (CPOCs) obtain FEMA Level I Professional Continuity Practitioner certification. See DA Pam 500–30 for additional guidance.
- (12) Assess the COOP programs at ACOMs, ASCCs, DRUs, USAR, and ARNG as part of the APP assessment team.
 - b. In addition to the responsibilities in paragraph 2–17 to support the HQDA COOP Program—
 - (1) Organize, manage, and execute the HQDA COOP Program as the HQDA staff lead in accordance with this regulation and DA Pam 500–30.
 - (2) Establish, charter, and manage the HQDA COOP Working Group (CWG) to meet at least quarterly.
 - (3) In coordination with DCS, G–6, establish, charter, and manage the HQDA Information Technology Continuity Working Group (ITCWG).
 - (4) Identify requirements and plan, program, and budget funds to establish and maintain HQDA continuity capabilities.
 - (5) Provide oversight and guidance regarding the HQDA COOP Program to ensure the continuity readiness posture of HQDA organizations.
 - (6) Develop and implement a multiyear strategy and program management plan (MYSPMP) that provides for the development, maintenance, and annual review of continuity capabilities to ensure critical activities and resources are acquired to sustain program support and continuous improvement efforts.
 - (7) Coordinate, issue procedures, and lead the HQDA MEF review every 2 years to revalidate and certify the SECARMY and HQDA Secretariat and ARSTAF agency MEFs.
 - (8) Update and reissue the HQDA COOP OPLAN every 2 years, or more often as changes warrant. Develop and maintain the HQDA COOP OPLAN in accordance with policy and procedures in this regulation and DA Pam 500–30.
 - (9) Maintain compatibility of HQDA COOP plans with those of the OSD, Joint Staff, and other Services.
 - (10) Certify the HQDA COOP Program and plan in writing annually through the Deputy Assistant Secretary of Defense for Defense Continuity and Mission Assurance (DASD (DC&MA)) to the DoD Continuity Coordinator in accordance with requirements described in DoDD 3020.26.
 - (11) Submit updated and validated ERG rosters to the DASD (DC&MA) no later than the fifth business day of each month as required by DoDD 3020.26.
 - (12) Support emergency evacuation and crisis-related operations in the NCR as required by DoDD 3020.26.
 - (13) Develop and implement the HQDA COOP Test, Training, and Exercises (TT&E) Program and plan in accordance with this regulation and DA Pam 500–30.
 - (14) Exercise the HQDA COOP OPLAN at least annually. Conduct functional tests. Evaluate outcomes, validate procedures, and track problems to resolution in the HQDA COOP corrective action plan.
 - (15) Exercise and test continuity plans with those of the OSD, Joint Staff, other military Services, and subordinate component commands, as required.
 - (16) Provide guidance for identifying, storing, protecting, and maintaining essential records, emergency operating files, materials, and databases required to execute MEFs and ensure they are accessible at alternate facilities.
 - (17) Maintain and test automated and/or manual (if automated is unavailable) the HQDA alert and notification (A&N) process, procedures, systems, and rosters at least quarterly.

(18) Consider the provisions of AR 525–26 when developing COOP plans to ensure the availability of required infrastructure under all conditions.

(19) Establish a decision process for determining appropriate actions in activating continuity plans and procedures with or without warning, during duty and nonduty hours, and address stand-down of continuity operations and transition back to normal operations.

(20) Assist the DCS, G–6 to identify requirements for redundant communications capabilities necessary to support MEFs that must be continuously performed without disruption.

(21) Through the Chief of Operations, AOC train AOC watch teams on processes, procedures, systems, and reports to:

(a) Receive notification of Continuity of Government Readiness Condition level changes and notify Army senior leaders.

(b) Receive notification of higher headquarters COOP plan execution (that is, SECDEF, CJCS) and notify Army senior leaders.

(c) Execute procedures to activate the HQDA COOP OPLAN including use of supporting action cards and checklists and watch operations at alternate sites.

(d) Execute COOP A&N systems and procedures to send an alert or notification with instructions to all HQDA ERG members (primary and alternate) or ERG subelements as directed by Army leaders based on the threat or level of execution situation.

(22) Through the Commander, U.S. Army Command and Control Support Agency—

(a) Develop and provide support for the online web application used to manage the HQDA roster of continuity personnel (primary and alternate) designated to fill HQDA ERG positions including names, contact information, security, training data, readiness reporting, and emergent requirements.

(b) Provide information technology support to the AOC and all other elements of the DCS, G–3/5/7 to support performance of MEFs at CFs.

2–11. Deputy Chief of Staff, G–6

The DCS, G–6 will—

a. In support of the overarching U.S. Army COOP Program—

(1) Provide operational expertise for Armywide IT contingency planning, programming, and implementation.

(2) Assist the DCS, G–3/5/7 in the development of U.S. Army policy and procedures for conducting continuity exercises which include performing MEFs during a degraded C4I environment.

b. In addition to the responsibilities in paragraph 2–17 to support the HQDA COOP Program—

(1) In coordination with DCS, G–3/5/7, establish, charter, and co-chair the HQDA ITCWG.

(2) Coordinate with system service providers to develop, upgrade, and maintain primary and redundant communications and IT systems to support the execution of HQDA MEFs.

(3) Develop guidance and procedures for testing the primary and alternate information systems identified by HQDA Secretariat and ARSTAF agencies as required to perform the agencies' MEFs.

(4) Serve as advocate for HQDA continuity requirements with C4I stakeholders and internal and external IT service providers to develop, coordinate, and conduct exercises incorporating degraded C4I events.

(5) Assist the DCS, G–3/5/7 in developing guidance and procedures for operations in a degraded cyber environment for inclusion in the HQDA COOP OPLAN.

(6) Assist the DCS, G–3/5/7 in the development of exercise plans and procedures for conducting continuity exercises which include performing MEFs during a degraded C4I environment as part of the HQDA COOP TT&E Program.

(7) Assist DCS, G–3/5/7 COOP planning for prioritizing communications, IT networks, information systems, applications, and capabilities identified by DCS, G–3/5/7 as required to perform HQDA MEFs in accordance with requirements of AR 25–2, DoDD 3020.26, and DoDI 3020.42.

(8) Develop, coordinate, and maintain, with the assistance of internal and external service providers and DCS, G–3/5/7, the ITCP including applicable disaster recovery plans (DRPs) and information system contingency plans (ISCPs) to support the HQDA COOP OPLAN.

(9) Develop, coordinate, and maintain with the assistance of AASA; DCS, G–1; and DCS, G–3/5/7 the communications and IT systems reconstitution plan and procedures supporting the HQDA COOP OPLAN.

2–12. Deputy Chief of Staff, G–8

The DCS, G–8, in support of the U.S. Army COOP Program, will provide SMEs to assist the DCS, G–3/5/7 in coordinating Army COOP programming actions, as required.

2-13. Chief of Army Reserve

The CAR, in support of the U.S. Army COOP Program, will publish guidance concerning implementation of the U.S. Army COOP Program for the USAR, as required.

2-14. Chief of Engineers

The COE, in support of the U.S. Army COOP Program, will in conjunction with the DCS, G-3/5/7 develop and publish COOP program guidance applicable to the U.S. Army Corps of Engineers organizations.

2-15. Deputy Chief of Staff, G-9

The DCS, G-9, in coordination with the landholding commands (that is, U.S. Army Materiel Command, USAR commands, and NGB), will, in support of the U.S. Army COOP Program, assist the DCS, G-3/5/7 in developing COOP policy guidance for the U.S. Army installation SCs to support the execution of tenant and on-installation commands' COOP plans.

2-16. Commanding General, U.S. Army Cyber Command

The Commanding General, ARCYBER, in support of the U.S. Army COOP Program, will—

- a.* Provide trend data identified during command cyber readiness inspections from assessed ITCPs which is applicable to organizational COOP plans.
- b.* Provide recommendations for improving cyber resilience related to continuity.

2-17. Heads of Headquarters, Department of the Army Secretariat and Army Staff agencies

The heads of HQDA Secretariat and ARSTAF agencies, in support of the HQDA COOP Program, will—

- a.* Establish the agency's COOP program in accordance with this regulation and DA Pam 500-30. The heads of HQDA Secretariat and ARSTAF agencies may delegate their COOP program oversight authority and responsibility to their immediate deputy, but not to a lower echelon.
- b.* Designate a primary and alternate CPOC. The CPOC will be responsible to the senior Army official of the agency for the agency's internal COOP program and for support of the HQDA COOP Program. The CPOC maintains close coordination with the agency's executive officer (XO) or equivalent. The CPOC serves as the organization's continuity planner. Personnel designated to perform primary and alternate CPOC duties will be full-time employees. Provide primary and alternate CPOCs with individually assigned secure internet protocol router network (SIPRNET) access and connectivity.
- c.* Employ the agency's XO or equivalent to serve as the front office focal point for senior leader situational awareness, supported by the CPOC, concerning the agency's COOP readiness posture and emergent threats and situations that could inform execution of COOP plans.
- d.* Identify and certify the agency's MEFs including the criticality and priority of each MEF in accordance with guidance in this regulation and DA Pam 500-30. Revalidate and certify the agency's MEFs in accordance with the biennial HQDA MEF review process and procedures.
- e.* Develop and maintain the agency's COOP OPLAN in accordance with policy and procedures in this regulation and DA Pam 500-30. The COOP OPLAN will address execution of the agency's MEFs normally performed at its primary operating facilities/locations in the NCR, including standalone facilities, by the agency's ERG members relocated to the HQDA CFs maintained by the DCS, G-3/5/7, as well as any other alternate facilities/ locations which are used by the agency whether owned or leased. Review, update, and reissue the agency COOP OPLAN every 2 years, or more often as changes warrant. A COOP OPLAN will not be considered complete unless approved and signed by the senior Army official responsible, or immediate deputy.
- f.* Develop the agency's devolution plan as part of the agency COOP OPLAN. The devolution plan identifies what non-HQDA organization will conduct each MEF if the agency is unavailable or incapable, the contact information for each gaining organization at its primary and alternate facilities, the expected outcome/deliverables for each MEF, and the expected delivery time for the outcome/deliverable.
- g.* Identify and approve the ERG positions required to perform the agency's MEFs while relocated at a CF. Approve changes to the agency's ERG positions that differ from those approved during the last biennial HQDA MEF review and submit for coordination to the HQDA COOP Office (DAMO-AOC-COOP).
- h.* Assign personnel (primary and alternate) to fill each ERG position and maintain the online COOP roster.
- i.* Inform in writing with endorsement by the personnel (primary and alternate) designated to fill positions on the COOP ERG at alternate sites of their continuity roles and responsibilities. The signed endorsement acknowledges the person understands and accepts these roles and responsibilities. If bargaining unit employees are included as ERG

members, organizations must ensure that all applicable collective bargaining obligations are satisfied. See DA Pam 500–30.

j. Identify, protect, and make accessible at CFs essential hardcopy and electronic records required to perform MEFs and support reconstitution of normal operations.

k. Identify essential resources and requirements to perform and sustain each MEF at CFs for a minimum of 30 days or until normal operations resume.

l. Identify essential secure and nonsecure communications, information systems, networks, and applications required to perform each agency MEF, including primary and alternate systems; and prioritize those systems, networks, and applications.

m. Identify requirements for C4I, essential files, records, documents, software, information systems, applications, databases, and other resources to be replicated, backed up, stored, protected, and made available at both HQDA managed and agency managed CFs.

n. Identify and maintain any agency owned CFs. Maintain a memorandum of agreement with the owner or occupant of the CFs used by the agency which are not owned or leased by the U.S. Government or owned by the agency and are not managed by the HQDA COOP Program. For each agency used CF, identify whether the CF is capable of supporting MEFs no later than 12 hours after COOP activation and sustaining performance of MEFs for a minimum of 30 days or until normal operations resume.

o. Ensure agency primary and alternate ERG members and leaders complete HQDA COOP TT&E Program training requirements and participate in TT&E events. Plan and conduct focused agency-level COOP tests, training, and exercises, as required, consistent with policy and procedures in this regulation and DA Pam 500–30.

p. Ensure heads of HQDA Secretariat and ARSTAF agencies visit their primary CF within 60 days of assuming their position.

q. Provide a COOP awareness briefing to all incoming agency personnel during organization in-processing which contains information, expectations, and procedures for personnel who are not deploying with the ERG to an alternate site or to an agency-identified alternate facility.

r. Ensure the agency's primary and alternate ERG members are trained and prepared to execute the agency's COOP plan with little or no notice.

s. Exercise the agency COOP plan annually to include the preplanned movement of trained ERG personnel to an alternate site or sites, as well as supporting procedures, resources, and agreements in order to evaluate and validate program and plan capabilities and readiness.

t. Test and exercise the agency's alternate sites/facilities contained in the agency COOP plan annually. This is normally accomplished in conjunction with the annual COOP plan exercise.

u. Integrate agency MEFs into HQDA COOP exercises to provide assurance that MEFs can be performed across the spectrum of threats, contingencies, events, and emergencies.

v. Identify and program requirements to support internal agency COOP programs and continuity capabilities. This includes, but is not be limited to, assets and resources, development, facilities operations and maintenance, information systems, communications, and transportation capabilities.

w. Provide COOP program and planning guidance including TT&E to the FOAs that report to that staff principal.

x. Assess the COOP program at each FOA that reports to that staff principal.

y. Provide an agency trusted agent to assist developing and designing HQDA COOP exercises which include the agency's equities and functions and to operate the exercise control cell.

2–18. Commanders and/or the senior Army officials responsible for the Army command, Army service component command, direct reporting unit, and U.S. Army Reserve

Commanders and/or senior Army officials responsible for the ACOM, ASCC, DRU, and USAR will—

a. Establish the command's COOP program in accordance with this regulation and DA Pam 500–30. The commander or senior Army official responsible may delegate their COOP program oversight authority and responsibility to their immediate deputy/chief of staff, but not to a lower echelon/subordinate.

b. Designate a primary and alternate COOP PM in writing. The PM is responsible to the commander or senior Army official responsible, or the delegated immediate deputy/chief of staff for the agency's COOP program and its coordination with the HQDA COOP Program. The PM is the organization's continuity planner. The individual assigned the duties of COOP PM is a full-time employee who is anticipated to remain in the organization for at least 2 years.

c. Provide primary and alternate PMs with ready SIPRNET access and connectivity vice using a general use office SIPRNET depending upon availability and their organization's mission. The recommended primary means of conducting COOP planning, correspondence, and communication is via SIPRNET.

d. Ensure PMs oversee the COOP program. The PM will be the interface with the Army COOP Office (DAMO–OD). PMs will direct Army COOP policy questions, as required, to the Army COOP Office, commercial (703) 697–9798/DSN 227–9798 or by email to usarmy.pentagon.hqda.mbx.pentagon-e-hqda-mailbox-armycoop@mail.mil.

e. Provide COOP program and planning guidance to ensure continuity readiness of subordinate organizations. Identify and designate which subordinate organizations due to their missions have MEFs and are required to have COOP OPLANs. Ensure those subordinate organizations develop and maintain their own COOP plans and procedures, and their COOP requirements are coordinated with the appropriate supporting commands. COOP planning for assigned industrial-base missions is unique. In some cases, it is not feasible to secure a CF due to task critical or supporting assets. Oversight and guidance will include how higher headquarters will support the subordinate’s industrial-base mission affected by a COOP event.

f. For headquarters organizations, report the site name, location, and contact information for each CF/site designated in its COOP OPLAN. This report is due no later than 30 September each year or within 10 working days if the facility name, location, or contact information changes. Send the report through the AOC to the Army COOP Program Office. Classify by content and in accordance with COOP security classification guides and other applicable classification guidance.

g. Report the relocation of the command/organization ERG to a CF or CFs including the site name, location, organization contact information, and effective date and time to the AOC during a COOP event or exercise. This is necessary to support situation awareness of senior Army leaders.

h. Establish, charter, and manage the command’s CWG. This may be part of the Protection Working Group (PWG) for efficiency if the requirements of the COOP program can be met and COOP materials, documents, and decisions are presented and maintained in a distinct COOP section.

i. Identify requirements and plan, program, and budget funds to establish and maintain continuity capabilities. This includes, but is not limited to, assets, resources and development, maintenance, operations of CFs, communications, information systems, and transportation capabilities.

j. Identify and approve the command’s MEFs including the criticality and priority of each MEF in accordance with this regulation and guidance in DA Pam 500–30.

k. Develop and maintain the command/organization COOP OPLAN in accordance with policy and procedures in this regulation and DA Pam 500–30. Review, update, and reissue the agency COOP OPLAN every 2 years, or more often as changes in mission or organization warrant. The COOP OPLAN will be signed, in writing, by the commander/senior Army official responsible or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate, of the ACOM, ASCC, DRU, USAR, or organization. This also applies to subordinate organizations having COOP OPLANs. A COOP OPLAN will not be considered complete unless signed.

l. Identify and approve the ERG positions required to perform the command/organization MEFs (such as operations officer and training action officer). Approve changes to the command/organization ERG positions.

m. Designate primary and alternate personnel to fill each ERG position and enter the individual’s name in the COOP roster. The COOP roster contains personnel names and data and should be maintained as a separate document or database supporting COOP plan execution.

n. Develop the command/organization devolution plan as part of the COOP OPLAN that identifies for each MEF:

- (1) What subordinate or other organization will conduct that MEF if the command is not able/available or cannot communicate.

- (2) The contact information for that gaining organization at its primary and alternate facilities.

- (3) The expected outcome/deliverables for the MEF.

- (4) The expected delivery time for the MEF.

o. Identify, protect, and make accessible at CFs essential hardcopy and electronic records required to perform MEFs and support reconstitution of normal operations.

p. Identify essential resources and requirements to perform and sustain each MEF at CFs for a minimum of 30 days or until normal operations resume.

q. Identify and prioritize essential primary and alternate secure and nonsecure communications, information systems, networks, and applications required to perform each MEF based on the criticality and priority of each MEF. See DA Pam 500–30 for additional guidance.

r. Identify critical requirements and procurement needs for C4I, essential files, records, documents, software, information systems, applications, databases, or other resources to be replicated, backed up, stored, protected, and made available at agency CFs.

s. Identify, establish, and maintain agency CFs capable of performing MEFs within 12 hours of COOP activation and sustaining performance of MEFs for a minimum of 30 days or until normal operations resume. Facility selection

will consider sufficient geographical distance from the organization's primary facility. For example, an organization may select an alternate site in the immediate geographic location as its primary location of operation for use in the event of a burst pipe, fire, or explosion occurring in the main building. Organizations must maintain an alternate site located further away for use in situations causing a higher degree of damage and reducing or preventing the ability to operate locally (for example, flood, earthquake, cyber, or weapons of mass destruction).

t. Establish the command's COOP TT&E Program. Ensure primary and alternate ERG members and leaders participate in the COOP TT&E events.

u. Provide a COOP program awareness briefing to all incoming agency-assigned personnel during organization in-processing which provides information, expectations, and procedures for personnel who do not deploy with the agency's ERG to an alternate facility.

v. Provide initial and annual COOP training for all primary and alternate ERG members including leaders about executing the COOP plan with little or no warning.

w. Conduct tests that demonstrate the correct operation of equipment, procedures, processes, and systems that support the organization's continuity infrastructure, as applicable.

x. Exercise the organization COOP OPLAN annually including alternate facilities to evaluate program and plan capabilities and readiness and provide assurance that MEFs can be performed under all circumstances.

y. Integrate the MEFs into COOP exercises to provide assurance that MEFs can be performed across the spectrum of contingencies, threats, events, and emergencies.

z. Assess subordinate organizations that have a COOP program/plan (that is, have MEFs) and those organizations that are designated to receive and conduct MEFs as a gaining organization during a devolution situation as a part of the command's Organizational Inspection Program in accordance with AR 525-2. Identify findings and trends to command leadership.

aa. Provide an agency trusted agent when tasked by HQDA to assist developing COOP exercises which include agency equities and functions and to assist operating the exercise control cell.

bb. Coordinate, review, and approve subordinate command COOP plans.

2-19. Senior commanders

During an all-hazard event that causes a tenant command or organization to execute its COOP plan, installations and garrisons will conduct emergency response activities in accordance with the Emergency Management (EM) Program (see AR 525-27). SCs may be faced with circumstances that challenge capabilities to support the MEFs of supported commands/organizations while responding to the emergency. Installations support tenant commands and other supported organizations in executing their COOP plans by providing support for: continuity operations at on-installation alternate facilities, departure to off-installation alternate facilities, and devolution requirements. Installations may also support the validated COOP plan and alternate site/facility requirements of other commands/organizations that are not installation tenants but relocate to the installation during a COOP event.

a. SCs will—

(1) Oversee installation services and capabilities provided to tenant commands/organizations that are required by their higher headquarters to have a COOP plan and/or are required to support the devolution of another command's MEFs.

(2) Approve support for other nontenant commands with a validated COOP plan requirement to be supported by or use an installation facility as an alternate site.

(3) Address synchronizing and integrating installation COOP issues with tenant commands, deployable Army units, and the garrison through the COOP executive meetings or installation Protection Executive Committee (PEC) per AR 525-2.

(4) As the installation may not be able to support all of the tenant and supported nontenant commands' COOP requirements, review and approve a prioritization of installation capabilities and services to support those organizations' MEFs and devolution needs. Provide prioritization guidance in writing for the garrison commander or an installation CPOC/integrator as determined by the SC to aid execution of supported COOP plans.

(5) Approve project priority list for COOP support requirements at the installation level for military construction Army, military construction Army Reserve, and military construction Army National Guard.

b. The garrison commander or an installation CPOC/integrator, as determined by the SC, will—

(1) Support the COOP plan requirements of tenant commands and those organizations whose COOP plans are supported by the installation per the COOP support prioritization of the SC.

(2) Through the PWG or CWG, coordinate with tenant and supported commands to develop processes and procedures to support the execution of those commands' COOP plan MEF requirements which may require relocation to an alternate facility on the installation or movement off of the installation to a separate alternate site.

(3) As part of the Installation Protection Plan in accordance with AR 525–2, include and maintain the plan to support the execution of tenant and supported commands’ prioritized COOP MEFs and their devolution requirements. Include the MEF and devolution requirements by the commands supported with the prioritization of the MEF by those commands. Classify according to content and classification guidance.

(4) Conduct integrated protection exercises at the same time supported commands are conducting COOP relocation exercises (for example preparation for a tornado or hurricane), when possible, to test and evaluate plans and the capability to support commands’ COOP requirements simultaneously with EM plan execution.

2–20. Tenants and supported commands with continuity of operations requirements

Tenant commands with validated requirements from their higher headquarters (that is, commander or director of ACOM, ASCC, DRU, or USAR) to support the performance of the higher headquarters’ MEFs or to gain responsibility for MEFs during devolution must have a COOP plan. The COOP plan must include the approved higher headquarters requirements. Commanders/directors of tenant commands will—

a. Participate in the Installation’s PEC (or COOP Executive Committee) and PWG (or CWG) to coordinate the tenant’s COOP plan requirements and support the overall installation’s COOP support plan.

b. Inform the SC of the supporting installation that the tenant has validated COOP requirements and provide the approved COOP plan, MEFs by priority, and support requirements. Inform the SC of the supporting installation within 30 days if the tenant’s validated COOP plan requirements change or are eliminated.

c. Participate in applicable installation tabletop and other exercises which evaluates capabilities to support tenant COOP plan execution.

d. Inform their higher headquarters commander or director of their capability to execute their COOP plan.

Chapter 3

Continuity of Operations Programs and Continuity Planning Elements

3–1. Program management elements

Commanders and/or senior officials responsible for Army organizations will incorporate continuity requirements into daily routine operations, procedures, and systems to enable readiness and the seamless continuation of MEFs. Continuity capability and resilience are built on program management and continuity planning. This paragraph identifies required elements of Army COOP program implementation and management. See DA Pam 500–30 for additional requirements and guidance. COOP program management and oversight will include, but is not limited to:

a. *Continuity of operations program manager/continuity of operations point of contact.* Appoint a primary and alternate COOP PM or CPOC responsible to the organization’s senior official for management oversight of the COOP program and planning. Encourage the command/organization COOP PM and CPOC to obtain FEMA Level I Professional Continuity Practitioner certification training as recommended in DA Pam 500–30.

b. *Risk management.* Participate annually in a comprehensive risk management process resulting in mitigated vulnerabilities, increased capabilities, and identified unmitigated risks in accordance with AR 525–27.

c. *Budgeting and acquisition of resources.* Identify requirements and plan, program, and budget resources for continuity capabilities. The budget provides for acquisition of resources necessary to conduct TT&E events and sustain continuity operations for a minimum of 30 days or until normal operations are resumed. Organizations work with headquarters and other agencies to plan and budget for continuity program requirements in accordance with the command budget guidance and the Planning, Programming, Budgeting, and Execution System, as applicable.

d. *Multiyear strategy and program management plan.* Develop and implement a MYSPMP that provides for the development, maintenance, and annual review of continuity capabilities to ensure critical activities and resources are acquired to sustain program support and continuous improvement efforts.

e. *Continuity program management cycle.* Use a cyclical process of planning; testing, training, and exercising; evaluating lessons learned; and implementing corrective actions to develop and improve continuity programs, plans, and capabilities.

f. *Supplemental guidance.* Headquarters organizations provide oversight and issue program and planning guidance to ensure the continuity capability and readiness of their subordinate organizations.

g. *Continuity of operations working group.* Charter and establish a CWG to include designating membership in accordance with the APP and AR 525–2. The responsibilities and functions of the CWG may be integrated into the PWG. The meeting’s COOP program content, tasks, corrective actions, and attendance will be documented.

h. *Continuity of operations readiness and preparedness.* Develop COOP program readiness metrics, as applicable, to evaluate and validate program and plan readiness. Report the organization COOP readiness status to the CWG and leadership at least annually.

3–2. Continuity of operations plans and continuity capability elements

This paragraph identifies required continuity capability elements for Army COOP OPLANs and procedures. See DA Pam 500–30 for additional required procedures. Commanders and/or senior officials responsible for Army organizations will develop an executable COOP OPLAN and supporting procedures to provide for continued performance of its MEFs under all circumstances. Army COOP program planning activities and plans will include, but are not limited to, the following continuity capability elements.

a. Mission essential functions. Identify the organization’s MEFs including the criticality and priority of each MEF. Accurate MEF identification is the basis of a viable continuity plan because all other planning elements are dependent on MEF performance. The organization’s commander or senior Army official responsible or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate, will approve the MEFs.

b. Emergency relocation group positions. Identify the positions for the organization’s ERG. The size and composition of the ERG is informed by the mix of skills, qualifications, experience, rank/grade, and number of persons required to perform and sustain MEFs at alternate facilities including 24/7 operations. The organization’s commander or senior Army official or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate, will approve the number and composition of the ERG positions.

c. Emergency relocation group personnel and continuity of operations roster. Designate organization personnel (primary and alternate) by name to fill the ERG positions on the COOP roster. The roster supports A&N and accountability of the ERG members. Recommend maintaining the COOP roster of ERG member names as a separate document from the COOP plan. ERG members must be capable of deploying with or without warning to a CF for 30 days. ERG members will be trained on the organization’s COOP OPLAN and know the MEFs they support and the systems and essential records required to perform those MEFs.

d. Order of succession. Identify and list the order of succession for the position of organization head to ensure there is an orderly and predefined succession of leadership during any emergency. Indicate the positions (rather than names of individuals) in priority order three positions deep.

e. Delegations of authority. Identify and delineate preplanned delegations of authority needed to ensure successors have the legal authority to assure execution of the organization’s COOP plan and performance of MEFs during a continuity event. These are generally authorities that are granted by appointment or require specific training, qualifications, or certifications that do not automatically transfer to the succeeding individual during succession.

f. Continuity communications, information systems, and information technology services. Identify and have available at CFs the secure and nonsecure communications, information systems, applications, and IT services required to perform each of the organization’s MEFs. Communication capabilities will include mobile in-transit communications capabilities for senior leadership, as required, to ensure the continuation of the organization’s essential functions. Organizations must plan and provide resources and redundancy accordingly if a MEF requires uninterrupted communications and IT support. Oversee the COOP program’s use and implementation of the Government Emergency Telecommunications Service (GETS) cards and Wireless Priority Service (WPS) for COOP personnel (see DA Pam 500–30).

g. Cyber resilience. Identify the communications, networks, information systems, applications, and websites required to perform each of the organization’s MEFs and address continuity operations when those networks, systems, applications, or websites are degraded, unavailable, or unreliable. To integrate cyber resilience, the organization will—

(1) Identify the criticality and priority of each of the organization’s MEFs and the priority of the information systems, networks, applications, and websites required to perform the MEFs to inform and synchronize those priorities with the G–6 staff and service providers who produce the supporting ITCPs.

(2) Identify also the alternate systems for performing the organization’s MEFs.

(3) Coordinate with G–6 staff and IT service providers who develop the ITCP containing applicable DRPs.

(4) Ensure exercises include performing essential functions during C4I system degradation or failure.

h. Essential records. Identify and implement procedures to ensure essential information systems and applications, electronic and hardcopy documents, references, and records (to include classified or sensitive data) needed to support MEFs during a continuity event are safeguarded, available, and accessible at alternate facilities to support continuity operations.

i. Continuity facilities. Identify and select CFs (for example, alternate sites, alternate headquarters, or alternate locations) using an assessment of the risks associated with events such as natural disasters, power outages, information technology issues, and other threats. CFs will achieve full capability to perform MEFs as soon as possible, but not later than 12 hours after notification, and will have the capability to sustain continuity operations for a minimum of 30 days or until normal operations are resumed. Continuity programs will take advantage of existing geographic dispersion of leadership, staff, and infrastructure, when possible, to increase survivability. CFs should be far enough

away from the primary facility so that it would unlikely be impacted by the same local event (for example, tornado, flood, hurricane, fire, or explosive detonation) and not supported by the same utilities.

j. Telework. Incorporate telework into COOP plans and procedures for MEFs which can be performed using telework. When using telework as a continuity option, organizations must adhere to telework policy. Telework may not be a viable strategy for continuing MEFs during all events (for example, cyber events or mass power outage), nor performing MEFs handling classified information that require secure facilities. Telework may be used to augment continuity, but should not be relied upon as an organization's primary continuity option. Organizations will adhere to policy and provide protection of the information and information systems used during telework operations according to government standards.

k. Human resources. Provide information for government civilian, military, and contractor staff to assist their planning and preparedness for emergencies including developing family emergency plans and staying informed during an emergency. Include procedures to contact and account for personnel in the event of a continuity event. Address applicable human resources management issues such as pay, leave, work scheduling, benefits, hiring, authorities, and flexibilities. Address health, medical, and religious support available at or in the vicinity of the CF. Inform personnel designated as primary and alternate ERG members in writing with signed endorsement acknowledging their understanding and acceptance of their ERG roles and responsibilities at alternate sites during COOP events and exercises. If bargaining unit employees are included as ERG members, organizations must ensure that all applicable collective bargaining obligations are satisfied. See DA Pam 500-30 for additional requirements.

l. Accountability of personnel. Establish and maintain the organization's capability for rapid accounting of assigned personnel. Organizations will have means and processes in place for employees to contact their organization in a timely manner.

m. Devolution. Provide the organization's plan and procedures to devolve organizational control and direction as well as the responsibility for performing each of its MEFs. Devolution planning addresses the full spectrum of threats and all-hazards emergency events that may render an organization's leadership or staff unavailable to support or communicate, or incapable of supporting, the execution of the organization's MEFs from either its primary location or its alternate site. The organization's devolution plan is a continuity option that can be incorporated in the COOP plan as an annex, or can be a standalone plan, but it will not be a standalone plan in lieu of a COOP plan.

n. Reconstitution. Provide the organization's plan and procedures and responsibilities for reconstitution of staff, facilities, and systems to resume normal operations. Designate the organization's office or position responsible to the senior official to be the point of contact for reconstitution coordination and activities. Delineate the process, procedures, and responsibilities for reconstitution of the organization's staff, facilities, and infrastructure. Provide information essential to the reconstitution effort including identification of requirements for facilities, systems, communications, information technology, office and conference space, and other capabilities required to perform all essential functions. Identify vendors and contract vehicles to obtain essential services for reconstitution.

o. Test, training, and exercises. Implement the organization's COOP TT&E program and plan to evaluate and validate program capabilities and readiness, and train leadership and continuity staff. Test and exercise to assess continuity plans, policies, procedures, communications, information systems, logistics, and facilities.

(1) Update and reissue annually the organization's COOP TT&E program including the planned schedule of TT&E events for the upcoming year.

(2) Test the COOP A&N capability, systems, and procedures to contact the COOP ERG members at a minimum quarterly (for organizations and headquarters organizations).

(3) Ensure commanders and/or senior Army officials receive COOP training.

(4) Train ERG members (primary and alternate) on COOP A&N methods and procedures.

(5) Ensure ERG members (primary and alternate) are trained within 90 days of assignment to the ERG. ERG training will include a briefing about COOP plan execution, procedures, responsibilities, and expectations and an alternate site orientation at the organization's alternate facility(ies) including login to access essential records and operations at the facility.

(6) Exercise the organization COOP OPLAN annually including supporting resources, procedures, communications, systems, agreements, and movement of ERG personnel to an alternate site or sites.

(7) Exercise alternate facilities annually including activation, reception, in-processing, login to communications and IT systems, access to essential records, and site support to validate the capability to perform organization MEFs at the alternate facility. Tests of communications, IT systems, select functions, procedures, and supporting activities are used to check the status of site preparedness and readiness, but by themselves do not constitute a comprehensive exercise of the alternate site.

(8) Exercise participants will be primary or alternate ERG members. ERG members will complete all prescribed training before participating in an exercise.

(9) Conduct an after-action review following each COOP event and exercise. Develop and maintain a corrective action plan to track issues identified during events and exercises until resolution.

p. Continuity operations phases and implementation. Incorporate the four phases of the continuity operations implementation: Phase I–Readiness and Preparedness, Phase II–Activation, Phase III–Continuity Operations, and Phase IV–Reconstitution Operations.

q. Operations security. Identify and implement effective operations security measures to protect the continuity program, plans, facilities, networks, and personnel.

r. Supporting and complementing plans. Coordinate, synchronize, and integrate COOP plans and procedures with supporting or complementing EM plans such as the Occupant Emergency Plan or building evacuation plan which includes evacuation and shelter-in-place procedures, run/hide/fight procedures, telework plans, mission assurance, and other functional elements of the APP such as antiterrorism, cybersecurity, and operations security, as appropriate.

s. Operations. Operations will include a description of the concept of operations. Delineate the executive decision making process that allows for assessment of an event or a threat, or potential threat situation, and the procedures to execute the COOP plan with and without warning during duty and nonduty hours. Identify the positions with execution authority to activate the plan, and the procedures if activation is directed by higher headquarters. Describe the conditions or triggers for executing the plan. Include a decision tree or matrix for plan activation.

t. Relocation. Provide the procedures for deployment and relocation of the organization’s ERG to CFs.

u. Transportation. Provide an executable transportation plan and procedures including primary and alternate means of transportation.

Appendix A

References

Section I

Required Publications

DA Pam 500–30

U.S. Army Continuity of Operations Program and Planning Procedures (Cited in para 1–1.)

Section II

Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this publication. Army publications are available on the Army Publishing Directorate website at <https://armypubs.army.mil/>. DoD publications are available at <https://www.esd.whs.mil/dd/>.

AGO 2017–07

Designation of the United States Army Cyber Command as an Army Service Component Command, Alignment of the Army’s Portion of the Department of Defense Information Network Roles and Responsibilities, Reassignment of United States Army Network Enterprise Technology Command to Army Cyber Command, and Discontinuation of Second Army

AGO 2019–01

Assignment of Functions and Responsibilities within Headquarters, Department of the Army

AR 10–47

U.S. Army Command and Control Support Agency

AR 10–87

Army Commands, Army Service Component Commands, and Direct Reporting Units

AR 11–2

Managers’ Internal Control Program

AR 15–1

Department of the Army Federal Advisory Committee Management Program

AR 25–1

Army Information Technology

AR 25–2

Army Cybersecurity

AR 25–30

Army Publishing Program

AR 380–5

Army Information Security Program

AR 385–10

The Army Safety Program

AR 525–2

The Army Protection Program

AR 525–26

Infrastructure Risk Management (Army)

AR 525–27

Army Emergency Management Program

AR 530–1

Operations Security

AR 600–20

Army Command Policy

DA Pam 25–1–2

Information Technology Contingency Planning

DA Pam 25–403

Guide to Recordkeeping in the Army

DA Pam 525–27

Army Emergency Management Program

DoD Defense Continuity Program (DCP) Security Classification Guide

(Available from DCS, G–3/5/7 (DAMO–OD–AOC–COOP), 1E665 Army Pentagon, Washington, DC 20310.)

DoD Dictionary of Military and Associated Terms

(Available at <https://www.jcs.mil/doctrine/>.)

DoDD 3020.26

DoD Continuity Policy

DoDD 3020.40

Mission Assurance (MA)

DoDD 5100.01

Functions of the Department of Defense and its Major Components

DoDD 5105.77

National Guard Bureau (NGB)

DoDI 1035.01

Telework Policy

DoDI 3020.42

Defense Continuity Plan Development

DoDI 3020.47

DoD Participation in the National Exercise Program (NEP)

DoDI 6055.17

DoD Emergency Management (EM) Program

DoDI 8440.01

DoD Information Technology (IT) Service Management (ITSM)

DoDI 8500.01

Cybersecurity

DoDI 8510.01

Risk Management Framework (RMF) for DoD Information Technology (IT)

EO 12656

Assignment of Emergency Preparedness Responsibilities (Available at <https://www.archives.gov/federal-register/codification/executive-order/12656.html>.)

EO 13526

Classified National Security Information (Available at <https://www.archives.gov/isoo/policy-documents/cnsi-eo.html>.)

Federal Continuity Directive 1

Federal Executive Branch National Continuity Program and Requirements (Available at: <https://www.fema.gov/media-library/assets/documents/86284>.)

NIST SP 800–34 Rev. 1

Contingency Planning Guide for Federal Information Systems (Available at <https://csrc.nist.gov/publications/sp/>.)

10 USC 7013

Secretary of the Army (Available at <https://uscode.house.gov/>.)

Section III

Prescribed Forms

This section contains no entries.

Section IV

Referenced Forms

Unless otherwise indicated, DA forms are available on the Army Publishing Directorate website at <https://armypubs.army.mil>.

DA Form 11–2

Internal Control Evaluation Certification

DA Form 2028

Recommended Changes to Publications and Blank Forms

Appendix B

Army Internal Control Evaluation

B–1. Function

The function covered by this evaluation is the U.S. Army COOP Program.

B–2. Purpose

The purpose of this evaluation is to assist the ARSTAF; commanders of ACOMs, ASCCs, and DRUs; CAR; Chief, NGB; senior leaders of agencies and activities; SCs of installations; and the organization managers and internal control administrators in evaluating the key internal controls identified in this appendix in executing this regulation and implementing the U.S. Army COOP Program. This evaluation is not intended to address all controls.

B–3. Instructions

Answers must be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, and simulation). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These controls must be formally evaluated at least once every 5 years. Certification that this evaluation has been conducted must be accomplished on DA Form 11–2 (Internal Control Evaluation Certification).

B–4. Test questions

a. Establishment and management of continuity of operations program.

(1) Has the commander or the senior Army official responsible or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate, appointed a primary and alternate CPOC responsible to the organization's senior official for management oversight of the COOP program?

(2) Are risk management principles applied to program management and continuity planning to ensure operational readiness decisions appropriately consider the probability of an attack or event and its consequences?

(3) Are requirements identified to plan, program, and budget resources for continuity capabilities?

(4) Has a MYSPMP been established that provides for the development, maintenance, and annual review of continuity capabilities to ensure critical activities and resources are acquired to sustain program support and continuous improvement efforts?

(5) Is an ongoing cyclical process of planning; testing, training, and exercising; evaluating lessons learned; and implementing corrective actions used to develop and improve continuity programs, plans, and capabilities?

(6) Do headquarters organizations provide oversight and issue supplemental program and planning guidance to ensure the continuity capability and readiness of their subordinate organizations?

(7) Is a continuity working group established, functioning, and are meeting minutes produced?

b. Continuity planning and establishment of plans.

(1) Are organization COOP plans updated, approved, and reissued at least every 2 years?

(2) Is the COOP plan approved and signed by the organization's commander, senior Army official responsible, or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate?

(3) Do COOP plans contain the required continuity planning elements (see chap 3)?

c. Identification and prioritization of mission essential functions.

(1) Are organization MEFs identified and prioritized?

(2) Are organization MEFs approved by the commander or senior Army official or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate?

(3) Are organization MEFs revalidated and approved every 2 years?

d. Identification of emergency relocation group positions and designation of personnel.

(1) Are the ERG positions derived by the organization's MEF review approved by the organization's commander or senior Army official responsible or the delegated immediate deputy/chief of staff, but not a lower echelon or subordinate?

(2) Are the organization's ERG positions in the COOP plan identified considering the mix of skills, experience, rank/grade, and number of persons required to perform and sustain the MEFs at alternate facilities?

(3) Are the organization's personnel (primary and alternate) designated to fill each ERG position listed by name on a COOP roster?

e. Identification, designation, and establishment of continuity facilities.

(1) Are organization CFs required for the continued performance of MEFs (for example, alternate facility, alternate site, alternate headquarters, or alternate location) identified, established, and maintained?

(2) Are CFs capable of supporting performance the organization's MEFs no later than 12 hours after notification and sustaining continuity operations for a minimum of 30 days or until normal operations resume?

f. Identification and prioritization of essential communications and information systems, information technology services, records, and databases.

(1) Do COOP plans identify the essential records, files, and databases required to perform each of the organization's MEFs?

(2) Do COOP plans identify the criticality and priority of each MEF?

(3) Do COOP plans identify the primary and alternate communications, networks, information systems, applications, and websites required to perform the each of the organization's MEFs?

(4) Do COOP plans prioritize the communications, networks, information systems, applications, and websites required to perform the organization MEFs?

(5) Does the organization coordinate and synchronize its MEF priorities; its communications, networks, information systems, applications, and websites priorities for restoration; and data backup frequency requirements with G-6 staff and IT service providers who produce the ITCP containing applicable DRPs and ISCPs for the systems required to perform the MEFs?

g. Human resources management.

(1) Is information provided for government civilian, military, and contractor staff to assist their planning and preparations for emergencies, including developing family emergency plans, and staying informed during an emergency?

(2) Is information provided about applicable human resources management issues such as pay, leave, work scheduling, benefits, hiring, authorities, and flexibilities?

h. Establishment of continuity of operations test, training, and exercise program.

(1) Is the organization's COOP plan exercised at least annually?

(2) Is a COOP exercise including deliberate and preplanned movement of ERG personnel to an alternate site and the testing of related continuity procedures and systems conducted at least annually?

(3) Does ERG training (for primary and alternate members) include COOP plan execution procedures and ERG roles and expectations? Does ERG training include onsite orientation training at the organization's alternate facility(ies) including login and access to essential networks, systems, applications, records, files, and databases?

(4) Are ERG members trained in accordance with paragraph B-4h(3) before they participate in exercises?

(5) Is the organization's COOP A&N capability, systems, and procedures to contact the COOP ERG members tested and exercised at a minimum quarterly (for organizations and headquarters organizations)?

(6) Are after-action reviews being conducted after exercises and reports developed? Is a corrective action plan maintained to track issues identified during exercises for resolution?

(7) Are the organization's alternate sites/facilities and their communications and IT systems tested and exercised on their capability to support performance of the organization's MEFs at least annually?

B-5. Supersession

This evaluation replaces the evaluation previously published in AR 500-3, dated 18 April 2008.

B-6. Comments

Help make this a better tool for evaluating internal controls. Submit comments to the DCS, G-3/5/7 (DAMO-OD), 400 Army Pentagon, Washington, DC 20310-0400.

Glossary

Section I

Abbreviations

A&N

alert and notification

AASA

Administrative Assistant to the Secretary of the Army

ACOM

Army command

AOC

Army Operations Center

APP

Army Protection Program

AR

Army regulation

ARCYBER

U.S. Army Cyber Command

ARNG

Army National Guard

ARSTAF

Army Staff

ASA (ALT)

Assistant Secretary of the Army (Acquisition, Logistics and Technology)

ASA (FM&C)

Assistant Secretary of the Army (Financial Management and Comptroller)

ASA (M&RA)

Assistant Secretary of the Army (Manpower and Reserve Affairs)

ASCC

Army service component command

C4I

command, control, communications, computers, and intelligence

CAR

Chief, Army Reserve

CF

continuity facility

CIO

Chief Information Officer

CJCS

Chairman of the Joint Chiefs of Staff

COE

Chief of Engineers

COOP

continuity of operations

CPOC

continuity of operations point of contact

CSA
Chief of Staff, Army

CWG
COOP working group

DA
Department of the Army

DA Pam
Department of the Army pamphlet

DASD (DC&MA)
Deputy Assistant Secretary of Defense for Defense Continuity and Mission Assurance

DCS
Deputy Chief of Staff

DoD
Department of Defense

DoDD
Department of Defense directive

DoDI
Department of Defense instruction

DRP
disaster recovery plan

DRU
direct reporting unit

DSN
defense switched network

EM
emergency management

ERG
emergency relocation group

FE
functional exercise

FEMA
Federal Emergency Management Agency

FOA
field operating agency

FSE
full-scale exercise

HQDA
Headquarters, Department of the Army

ISCP
information system contingency plan

IT
information technology

ITCP
information technology contingency plan

ITCWG
Information Technology Continuity Working Group

MEF

mission essential function

MYSPMP

multiyear strategy and program management plan

NCR

National Capital Region

NGB

National Guard Bureau

NIST SP

National Institute of Standards and Technology Special Publication

OPLAN

operations plan

OSD

Office of the Secretary of Defense

PEC

Protection Executive Committee

PM

program manager

PWG

Protection Working Group

SC

senior commander

SECARMY

Secretary of the Army

SECDEF

Secretary of Defense

SIPRNET

secure internet protocol router network

SME

subject matter expert

TIG

The Inspector General

TT&E

test, training, and exercises

TTX

tabletop exercise

USAR

U.S. Army Reserve

XO

executive officer

Section II**Terms****All-hazards**

A classification encompassing all conditions, environmental or manmade, that have the potential to cause injury, illness, or death; damage to or loss of equipment, infrastructure services, or property; or alternatively causing functional

degradation to social, economic, or environmental aspects. Examples include, but are not limited to accidents, technological events, natural disasters, space weather, domestic and foreign-sponsored terrorist attacks, acts of war, weapons of mass destruction, and chemical, biological (including pandemic), radiological, nuclear, or explosive events.

Alternate facility, alternate site, alternate headquarters, or alternate location

See “continuity facility.”

Army Protection Program

The overarching leadership framework to integrate, coordinate, synchronize, and prioritize protection policies and resources among the functional elements and their associated enabling functions.

Continuity facility

Facilities, sites, locations, and platforms where essential functions are continued or resumed during a continuity event (for example, alternate facility, alternate headquarters, alternate location, or alternate site). Locations, other than the primary facility, used to carry out MEFs by relocating ERG members following activation of the COOP plan. This includes devolution sites and devolution locations used to carry out essential functions by devolving the organization’s MEFs to geographically separated facilities and staffs following activation of the COOP plan’s devolution option/plan. These facilities also refer to work arrangements such as telework and mobile work concepts.

Continuity of operations

An internal effort within each agency/organization to ensure essential functions continue to be performed during disruption of normal operations.

Corrective action program

An organized method of documenting, assigning responsibilities for action, and tracking improvement actions until complete for an organization’s continuity program.

Delegation of authority

Identification, by position, of the authorities for making policy determinations and decisions at headquarters, regional and field levels, and all other organizational locations. Generally, predetermined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution

The transfer of statutory authority and responsibilities for performance of MEFs from an organization’s primary operating staff to other employees internal or external to the organization in order to sustain essential functions for an extended period. Devolution is a continuity option used instead of, or in conjunction with, relocation in order to ensure the continued performance of essential functions.

Devolution site

See “continuity facility.”

Emergency relocation group

The selected individuals of the organization’s staff and leadership prepared to move to designated alternate facility(ies) and perform essential functions in response to emergencies or contingencies that threaten the operations of the organization.

Emergency relocation staff

A subset of the ERG. The collective ERG may be subdivided into emergency relocation staffs that deploy to different alternate sites.

Essential records

Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization’s essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization’s activities. The term “vital records” refers to a specific subset of essential records relating to birth, death, and marriage documents.

Exercises

Two types of exercises, discussion-based and operations-based, are useful as part of a comprehensive COOP TT&E program depending on the purpose, scope, and objectives.

a. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises are used to familiarize players with, or develop new, plans, policies, agreements, and procedures. Discussion-based exercises focus on strategic, policy-oriented issues. A TTX is intended to generate discussion of various issues regarding a hypothetical, simulated continuity event. TTXs are used to improve general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the response to a defined continuity event. Generally, TTXs are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in attitudes.

b. Operations-based exercises include drills, tests, functional exercises (FEs), and full-scale exercises (FSEs). These exercises are used to validate plans, policies, agreements, and procedures; clarify roles and responsibilities; and identify resource gaps. Operations-based exercises are characterized by actual reaction to an exercise scenario, such as initiating communications or mobilizing personnel and resources. FEs are designed to validate and evaluate one or more capabilities, functions and/or subfunctions, or interdependent groups of functions. FEs are focused on exercising plans, policies, procedures, a system or systems, infrastructure, and staff members involved in management, direction, command, and control functions. Events and event updates are promulgated through an exercise scenario that drives activity at the management level. An FE is conducted in a realistic, real-time environment; however, movement of personnel and equipment is usually simulated. An FSE is more complex and involves multiple agencies, organizations, commands, and validates many facets of preparedness including supporting procedures, logistics, and agreements. Events are introduced through an exercise scenario with event updates that drive activity at the operational level. FSEs are usually conducted in a real-time, stressful environment that is intended to mirror a real event. Personnel and resources are mobilized and deployed to perform actions as if a real event had occurred. The FSE simulates reality by presenting complex and realistic problems that require critical thinking, problem solving, and responses by trained personnel.

Geographic dispersion

The distribution of personnel, functions, facilities, and other resources in physically different locations from one another.

Information system contingency plan

Provides established procedures for the assessment and recovery of an information system following a system disruption. The ISCP provides key information needed for system recovery, including roles and responsibilities, inventory information, assessment procedures, detailed recovery procedures, and testing of a system. An ISCP supports, but is not, an organization COOP plan. Refer to NIST SP 800–34 Rev. 1 for additional information.

Information technology contingency plan

Provides procedures and capabilities for recovering and sustaining an IT system, capability, or application. An ITCP is a part of a continuity planning, but it is not an organization COOP plan. ITCPs support the organization COOP plan. An ITCP can be enacted without enacting a COOP plan. See DA Pam 25–1–2 for additional details.

Mission assurance

A process to protect or ensure the continued function and resilience of capabilities and assets, including personnel, equipment, facilities, networks, information and information systems, infrastructure, and supply chains critical to the execution of DoD MEFs in any operating environment or condition.

Mission essential function

Select functions directly related to accomplishing the organization’s mission. Failure to perform or sustain these functions would significantly affect the organization’s ability to provide vital services or exercise authority, direction, and control. MEFs are the limited set of the organization’s normal mission functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Order of succession

A formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

Reconstitution

Actions taken to re-establish an organization or the capabilities of an organization that have been destroyed or severely damaged. Also refers to the period in the post-attack environment when military activities re-establish noncritical missions, functions, organizations, resources, and services as they existed prior to the crisis event. Reconstitution is a combination of personnel, facilities, and IT systems and equipment actions taken to rebuild or replace the staff, facilities, and communications and IT capabilities as soon as possible after an event. Reconstitution may continue for an extended period until normal operations are resumed from the original or replacement primary operating facilities.

Recovery

The implementation of prioritized actions required to return an organization's essential functions, systems, processes, and support functions to operational stability following an interruption or disaster. Recovery may be initiated from any safe operating location. Recovery actions will generally start as soon as possible and can run concurrently with the relocation or reconstitution process. Recovery actions include execution of applicable supporting IT operations disaster recovery plans and related ISCPs.

Relocation

The movement of the ERG to a continuity facility or facilities for purposes of maintaining command and control and conducting MEFs on a continuous basis.

Resilience

The ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

Risk management

- a.* A continual process or cycle where risks are identified, measured, and evaluated; countermeasures are then designed, implemented, and monitored to see how they perform, with a continual feedback loop for decision-maker input to improve countermeasures and consider tradeoffs between risk acceptance and risk avoidance (see DA Pam 525–27).
- b.* A continuous process applied across the full spectrum of Army training and operations, individual and collective day-to-day activities and events, and base operations functions to identify and assess hazards/risks, develop and implement controls, make decisions, and evaluate outcomes; blends tactical, threat-based risks with accidental, hazard-based risks (see AR 380–5).

Senior commander

Command of Army installations is exercised by an SC. The SC is designated by senior Army leadership. The SC's command authority over the installation derives from the CSA and SECARMY's authority over installations. This is a direct delegation of command authority for the installation to the SC. The SC's command authority includes all authorities inherent in command including the authority to ensure the maintenance of good order and discipline for the installation (see AR 600–20 and AR 525–27).

Test, training, and exercises

Activities designed to familiarize, impart skills, and ensure viability of continuity plans. TT&E aids in verifying that an organization's COOP plan is capable and ready to support the continued execution of the organization's essential functions throughout the duration of a continuity event.

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